



MEMORANDUM

TO: Mayor and Council

FROM: Jannette Goodall, City Clerk

DATE: July 1, 2013

SUBJECT: CIUR #1018/Council Resolution 20130523-073

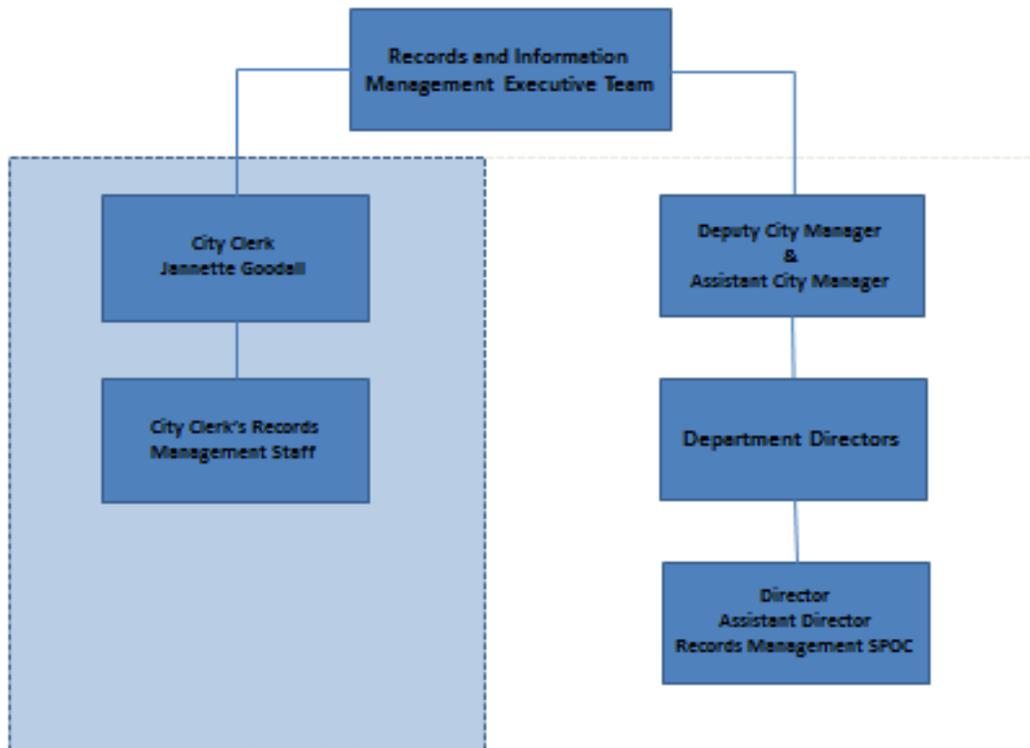
Council Resolution 20130523-073 directs the City Clerk and City Manager to provide a report outlining a proposed plan for the acceleration and substantial completion of the Records and Information Management "10-Step Program" within all City departments and to identify the resources and staffing required in FY14 to accomplish the proposed plan.

The mission of the Records and Information Management (RIM) division within the Office of the City Clerk (OCC) is to provide comprehensive services that promote the efficient, compliant, and transparent governance and administration of the City's information resources. To facilitate this mission, the department created the "10-Step Program". The Program includes a set of defined tasks, training classes, and deliverables, the completion of which establishes the foundation of sound records management practices at the department level. The 10-Step Program was designed to be clear and measureable, yet sufficiently flexible to support changes and enhancements over time to accommodate future records management needs and requirements, including the growing impact of digital records management.

The City Clerk and City Manager acknowledge that records management is an enterprise issue and requires support from both departments. To address this issue, the City Clerk and City Manager's Office are forming an "executive team" to assist the City Clerk in implementation of records management principles throughout the organization. This team will provide valuable and consistent communication between the City Clerk and City Manager's Office and is a key component to the success of the Records Management Program.

The executive team will consist of the Deputy City Manager Michael McDonald, Assistant City Manager Bert Lumbreras and the City Clerk. The City Manager has charged Deputy City Manager McDonald and ACM Lumbreras to provide the line of authority with the City Manager's Executive Team. The City Manager will rely on the available resources within the organization to ensure successful outcomes including insight from other Executive staff within the organization. The City Manager will ensure that the right expertise is tapped to provide the proper intuition needed to implement the 10-step program

across the organization. The City Clerk will provide the line of authority for the Records Management Staff.



The role of the executive team is to monitor compliance with the proposed plan, propose required adjustments to the timeline, identify any future resources and address future records management requirements. The team will work to create a process for this project that will bring structure and accountability as we implement this initiative. The team will also address barriers faced by the City that would place the City at risk of non-compliance with the records management program and principles. The team will meet regularly to review progress made and assess any issues departments face with implementing the program. These meetings will be led by DCM McDonald, ACM Lumbreras and the City Clerk.

In response to Resolution 20130523-073, the City Clerk and City Manager propose a multi-year, two-phased approach for implementing best practices for records management throughout the City. Phase 1 addresses the acceleration and completion of the 10-Step program within all City departments, to lay a solid foundation of records management best practices. Phase 2 of the plan addresses the expansion of records governance into the areas of digital records including enterprise systems, databases, and electronic files.

Phase 1: Acceleration and Substantial Completion of the 10-Step Program

1. Description

The City Clerk and the City Manager recommend the creation of a *Records and Information Management (RIM) Task Force*; a dedicated team of records management professionals who will work with selected City departments to assist them in completing Steps 1 through Step 4 of the current 10-Step Program by the end of FY2014. This includes:

- Establishing a departmental Records Management Team
- Conducting a records inventory
- Creating and approving a Records Control Schedule
- Application of corporate criteria for managing records and identification of records considered vital for business continuity in an emergency

These steps are by far the most critical and labor-intensive of the Program and lay the foundation for the remainder of the steps. With focused attention and support from a Task Force on completion of these steps, departments are well positioned to complete the remainder of the program on their own, with routine guidance, consultation, and support from OCC.

We do not foresee that every City department will require the attention of the RIM Task Force. The OCC has divided City departments into three groups for the implementation of the project:

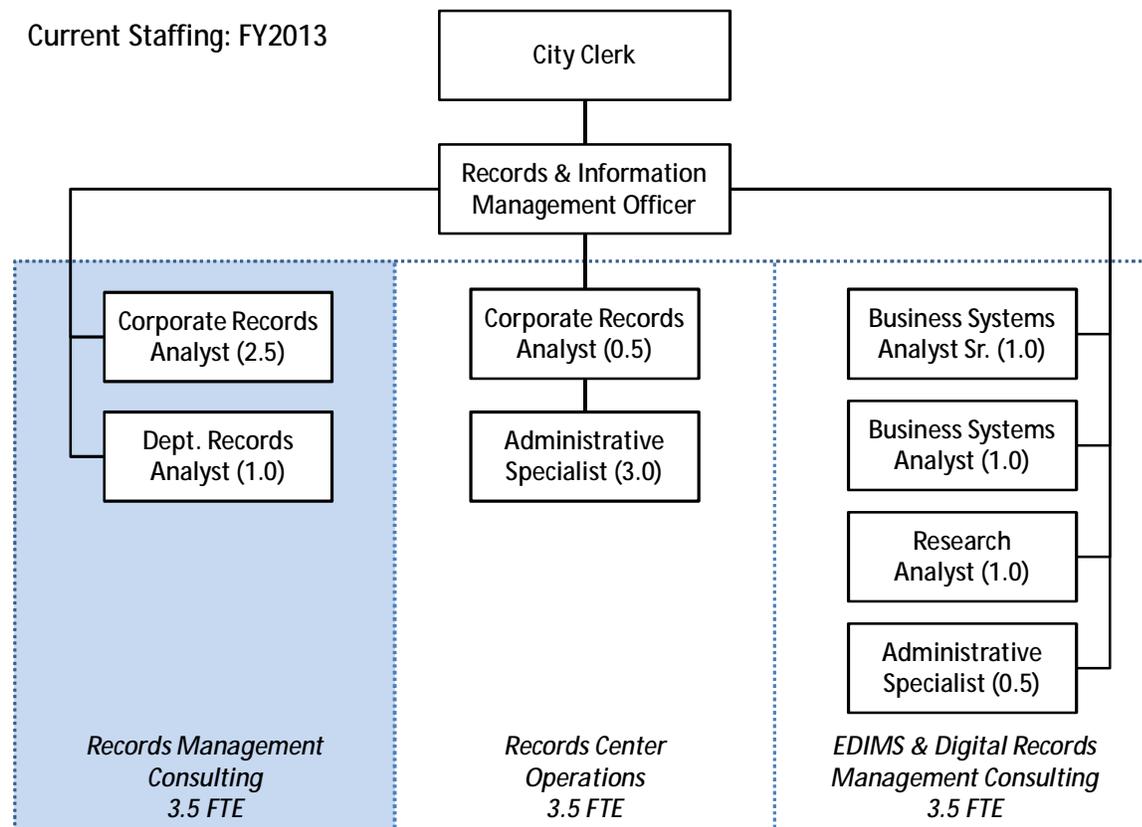
- Group 1: Fourteen departments that need targeted assistance and would be the primary focus of the RIM Task Force. Group 1 departments are large in size and have complex recordkeeping and retention requirements. They do not currently have dedicated records management staff or need assistance completing their records inventory. See the attached timeline for OCC's proposed prioritization and target completion dates.
- Group 2: There are eleven departments that currently have full-time Records Analyst positions or dedicated staff assigned to records management duties. While they may receive some attention from the RIM Task Force, the expectation is that they will continue moving forward with completion of the Program on their own, with routine guidance, consultation, and support from existing OCC staff. See attached timeline for selected departments and target completion dates.
- Group 3: The remaining City departments would remain the primary focus of the existing OCC records management staff. These departments are further along in the program or smaller in size and/or complexity. See attached timeline for selected departments and target completion dates.

By dividing the departments into three groups, we believe we can make best use of the resources available through the Task Force, departments, and OCC. While the existing OCC staff will focus on group 3, all OCC staff will be available to assist either the Task Force members or department staff.

The tasks, assignments, and scope of work to be completed within departments identified in Group 1 would be outlined in a Project Charter between OCC and the departments. The Charter would define what resources would be provided by both departments and an agreed upon timeline for completion for assigned tasks. Once the scope of work has been completed, the RIM Task Force would move to the next prioritized department. If a department fails to provide the necessary resources or make progress on its assigned tasks, the Charter would be suspended and the RIM Task Force would move to the next department. The target completion date for all departments is FY2016. A factor that will impact the schedule is the level of departmental cooperation; therefore the project will require ongoing support from the City's Executive Team.

2. Resources required

Currently, the OCC has 3.5 FTEs actively working with departments on completion of the 10-Step Program, indicated in the blue shaded area.



FY2014 Staff Resources:

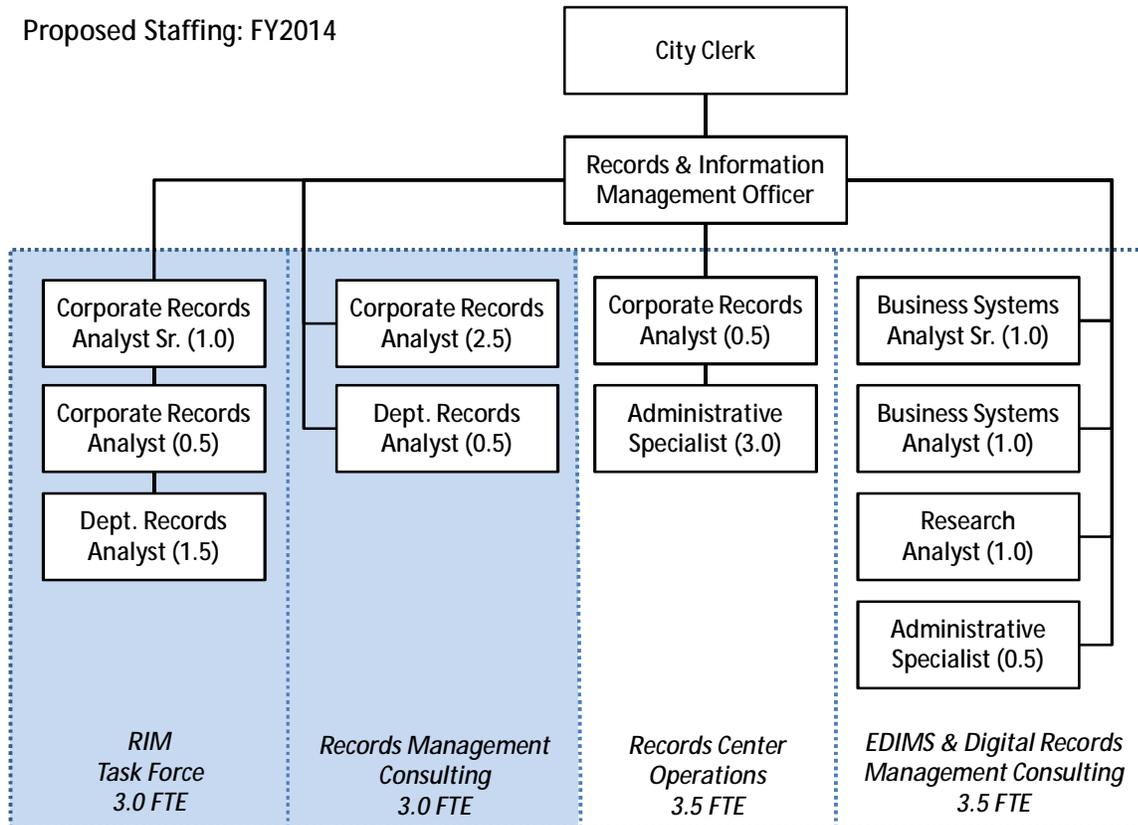
The OCC requests three new staff members (2.5 FTE) including one new job title to form the RIM Task Force:

- One Corporate Records Analyst Senior (A new position responsible for coordinating the RIM Task Force),
- One part-time Corporate Records Analyst, and
- One full-time Department Records Analyst.

The estimated cost for FY14 is \$216,262 for personnel and equipment.

In addition to the staff identified above, the OCC will dedicate half of our Department Records Analyst to this project. This will nearly double the number of resources to 6 FTE actively working with departments on completion of the 10-Step Program, indicated in the blue shaded area.

Proposed Staffing: FY2014



With assistance from the Office of the City Clerk, in FY2014 the members of the RIM Task Force along with department staff will conduct a series of concentrated projects for the departments identified in Group 1 and focus on getting those department completed through Step 4. Steps 1 through 4 are the most time-consuming and form the foundation for the remaining steps.

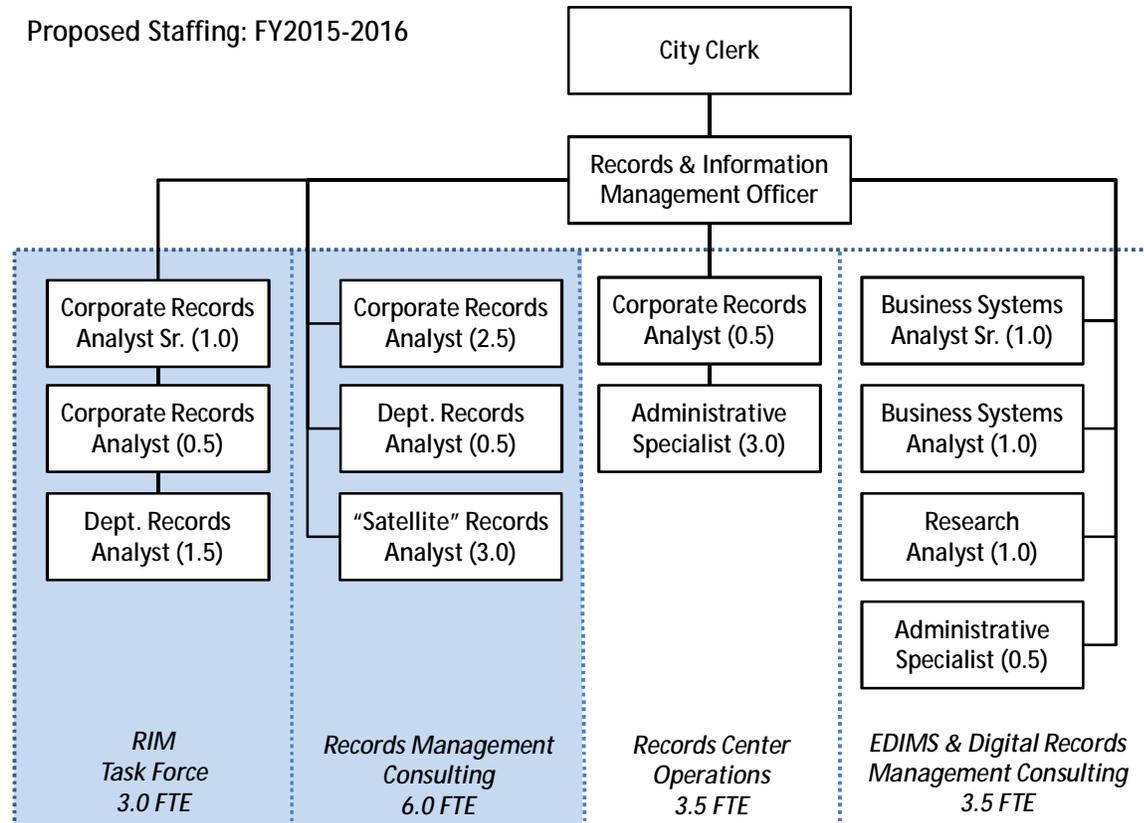
The OCC has limited space and no potential for growth and will need additional space to accommodate the Task Force. The staff will be in the field approximately 85% of the time. However, the remaining time they will need office space to work on the project deliverables. The OCC recommends allocating the small office space (Room 1031) located across the hall from the Staff Bullpen at City Hall for these staff members.

FY2015 Resources:

The plan also proposes three additional Records Analysts in FY2015 that would be permanently allocated to departments to provide continuing records management support. The recommended departments are:

- Planning and Development Review,
- Austin Water Utility, and
- Neighborhood Housing and Community Development.

This recommendation is based on the size and complexity of the records management issues within these departments. These records analysts would be assigned to assist the Task Force in the RIM projects for their assigned departments.



To ensure the staff are available to work on records management issues full-time and are not pulled onto other duties, our recommendation is the staff report to the OCC but be permanently assigned to the departments; thus the designation "Satellite" Records Analyst. This allows the employees to have first-hand knowledge of the department but with oversight by OCC to ensure they remain dedicated to records management tasks within the department. The target completion date for all departments is FY2016.

Upon completion of the project the RIM Task Force staff would be allocated to:

- One Department Records Analyst would continue to report to OCC but be permanently assigned to EMS/AFD as a "Satellite" Records Analyst to focus on the continuing records management requirements for both of these departments.
- The Corporate Records Analyst Senior (FTE) would continue reporting to OCC and would be transition to the Phase 2 Digital Records and Information (RIM) Task Force, described below.
- The Corporate Records Analyst (PTE) would continue reporting to OCC and would be responsible for the City-wide records and information management training program including the creation of web-based training modules.

The estimated cost for FY15 is \$240,373 for personnel and equipment.

3. Timeline

See the attached document for a recommended timeline for compliance by each department. Top level support by the City Manager will be required to keep departments on target for completion.

Phase 2: Digital Records Management

The application of records management best practices to digital records, databases, and enterprise systems is a challenging endeavor in that most commercial and custom applications are not designed with records management in mind. The goal of this Phase is to help reduce the City's records management risks as they relate to digital records.

To address these issues, the City Clerk and the City Manager recommend the creation of a *Digital Records and Information Management (RIM) Task Force*; a dedicated team of records and technology management professionals who will work with selected City departments to assist them in:

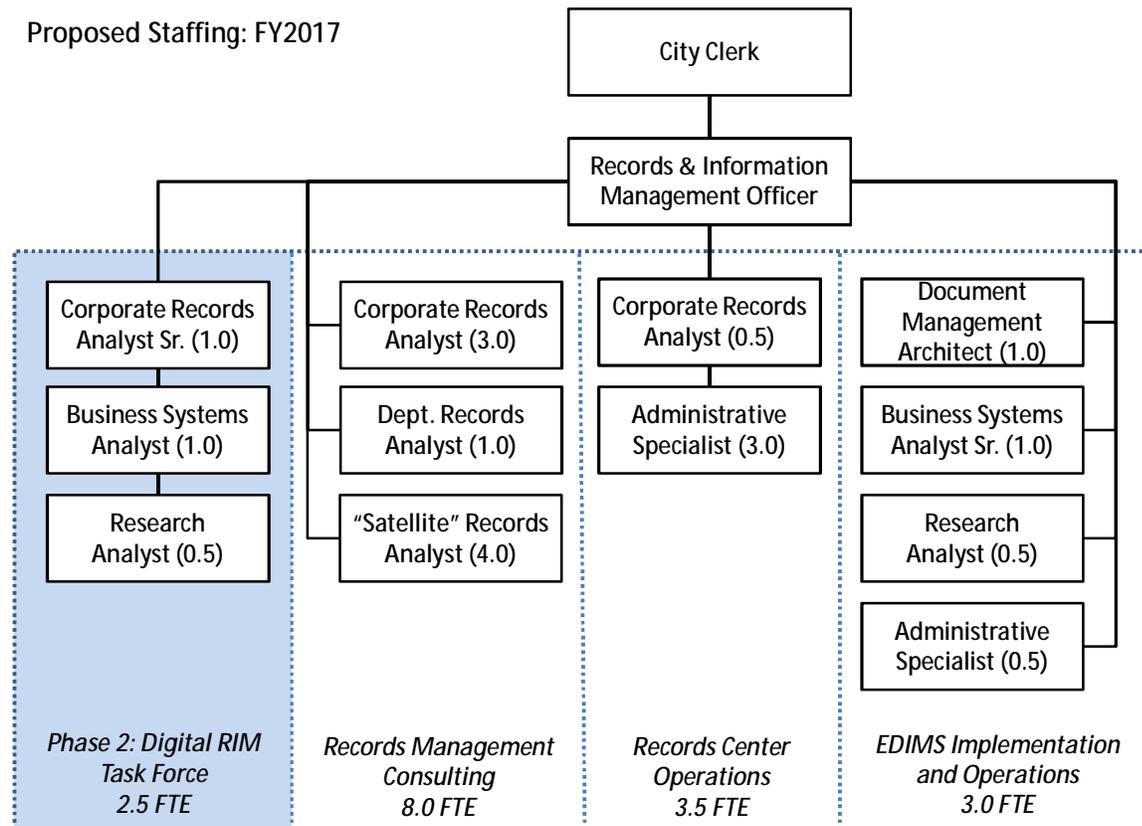
- Conducting inventories of all group, departmental, and enterprise applications, systems, and databases, including those that are outsourced to hosted, cloud-based contractors.
- Conducting inventories of all document management, records management, or imaging management systems currently in use, including those that are outsourced to hosted, cloud-based contractors.

- Classification of the data managed by the systems in the department’s Records Control Schedule and determination of records retention requirements for data/files managed by the systems.
- Development of strategies to apply records management controls to these systems including classification, retention, disposition, application of destruction holds, and vital records protection.

FY2017 Staff Resources:

The OCC requests one new staff member (1.0 FTE) and a new title of “Document Management Architect,” that would be responsible for continued implementation of the Enterprise Document Imaging and Management System (EDIMS) and provide technical support to other information systems projects involving records management requirements. The Business Systems Analyst currently in OCC would be reassigned to support the Digital RIM Task Force. The Corporate Records Analyst Senior (FTE) from Phase 1 would continue reporting to OCC and would serve as lead for the Digital RIM Task Force. In addition, the OCC will dedicate half of our Research Analyst to this project.

The estimated cost for FY17 is \$106,355 for personnel and equipment.



Conclusion

While this plan addresses areas not considered or required in the Council Resolution, we believe it was necessary to address future demands as well as existing needs. In their 2012 Citywide Records Management and Retention Audit, the City Auditor stated that “We found that the City has a records management program which adheres to best practices; however, the program is not consistently implemented across all City departments. Without sound records management practices, the City may not be able to accurately and effectively respond to requests for documentation and could face consequences if records requests are not met.”

The plan outlined above ensures three major benefits to the City:

1. It provides a plan and timeline for the successful implementation of the 10-Step Program, and brings the City into compliance with best practices relating to management of a vital City asset, its records and information.
2. It addresses the findings of the City Auditor’s 2012 Citywide Records Management and Retention Audit.
3. It provides resources to ensure that the program is capable of meeting future demands in digital records and information governance and ensures that the City of Austin will be a leader and example of best practices in the management of records and information.

Efficient, enterprise-wide records management is an integral component of a best managed city. The proposed changes to the program will ensure the City has the necessary resources to achieve “Best Managed” status by properly managing our information assets, increasing transparency, and ensuring compliance with all statutory and regulatory records management requirements.

Below is an organizational chart that shows how the requested staff will ultimately be incorporated into the City’s Records and Information Management Services program beginning in 2017. These changes will allow the City Clerk’s Office to prepare for both existing and future records management requirements resulting in an organization that is prepared to face records management needs beyond the timeline outlined in this plan.

Records and Information Management Services

